



EPA Performance Appraisal and Recognition System
Performance Plan Coversheet

Employee Name: Richard Cool	Title, Series, Grade: Environmental Engineer, 0819, 13
Performance Period: 10/01/2014 - 09/30/2015	Organizational Location: NPDES Compliance Unit

SECTION 1. DETERMINING CRITICAL ELEMENTS AND SETTING STANDARDS

My supervisor and I have discussed the critical elements that I will be rated against during the course of this rating period.

Employee's Signature and Date <i>Richard Cool</i> 10/21/14	Supervisor's Signature and Date <i>Jeffrey Wright</i> 10/20/14
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Individual being rated is a: Employee

Linking CEs It is important that critical elements (CEs) be linked to the Agency Strategic Plan, or to a Regional Strategic Plan, as appropriate. The Plan contains five long-term, results-based environmental goals. It also describes seven Cross-Goal Strategies. If you link a CE to a Goal, then use the relevant objective(s) to more specifically define the linkage. If your duties include the performance of cross-Agency or cross-media work (including administrative, financial or legal support functions, or information management) then it may be more appropriate to link each CE to a Strategy, rather than to an environmental Goal. For management and support functions not captured by the seven Cross-Goal Strategies, use the alternative linkage statement: *This work is an enabling and support function that supports the outcomes of all five of the Agency's strategic goals.*

Indicate which Strategic Plan Goal(s) is/are linked to the Critical Elements for this position:

SECTION 2. PROGRESS REVIEW(S)

	Mid Year Review (Required)	PARS Changes during Performance Cycle**	"Other" Review (Optional)
Supervisor's Initials and Date	<i>JR</i> 4/29/15		

My supervisor and I have discussed my performance for this period in relation to my performance standards and measures.

Employee's Initials and Date	<i>RC</i> 4/29/15		
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SECTION 3. END OF YEAR RATING

Summary Rating Levels* <i>EXCEEDS EXPECTATIONS</i> *See next page for definitions and additional guidance	Learning and Development My supervisor and I have discussed my training needs for the year and an Individual Development Plan (IDP). <input type="checkbox"/> is attached <input type="checkbox"/> is not attached
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My supervisor and I have discussed my performance for the calendar year in relation to my performance standards and measures. My supervisor has informed me of my rating of record.

Supervisor's Signature and Date <i>Jeffrey Wright</i> 10/23/15	Employee's Signature and Date <i>Richard Cool</i> 10/23/15
Higher Level Supervisor's Signature and Date	Employee Comments <i>NO COMMENTS</i> <input type="checkbox"/> Is Attached <input type="checkbox"/> Is Not Attached



**EPA Performance Appraisal and Recognition System
Performance Plan Coversheet**

Employee Name:

Richard Cool

Title, Series, Grade:

Environmental Engineer, 0819, 13

Performance Period:

10/01/2014 - 09/30/2015

Organizational Location:

NPDES Compliance Unit

PRIVACY ACT STATEMENT

The maintenance of this information is governed by Privacy Act system of records OPM/GOVT-2. The authority for the maintenance of this system is 5 U.S.C. 1104, 3321, 4305, and 5405, and Executive Order 12107. This information is required. Not providing this information may hinder the Agency's ability to process personnel actions concerning you. This information is used to define the critical elements, performance standards, and performance measures directly related to your job. It will be used to document your mid-year review, any other reviews, and your end of year rating. The information may also be used in connection with selection for and publication of cash and honor awards; other personnel actions based on performance such as training and development decisions; the hiring or retention of an individual or the issuance of other benefits; relevant judicial or administrative proceedings; law enforcement purposes; personnel research or survey purposes; and negotiated grievance procedures. Disclosure may also be made to the MSPB, the EEOC, and other Federal agencies for purposes authorized by law; to a Congressional office at your request; and to officials of labor organizations when relevant and necessary to their duties as exclusive representatives of Federal employees. This is a summary of the routine uses for these records. For a full description of this system notice, including routine uses, see 65 FR 24737 (Apr. 27, 2000).

Do Not Remove this Coversheet until the Entire Form Is Placed in the Employee Performance File in the Servicing Human Resources Office.



EPA Performance Appraisal and Recognition System Performance Plan Coversheet

Definitions of Summary Rating Levels

Outstanding

- *Consistently proposes new, creative approaches and practical ideas that are accepted by fellow workers and incorporated into day-to-day work operations to improve efficiency and effectiveness of the work.
- *Coworkers are motivated and energized by employee's actions and the employee is often sought for advice concerning complex, controversial, and difficult issues prior to implementation.
- *Employee is consistently proactive, demonstrates initiative, and uses exceptional judgment.
- *Understands the political realities of situations, keeps supervisor and/or Team Leader informed of issues and problems and uses discretion in keeping sensitive matters confidential.
- *Employee most often resolves problems independently and effectively eliminates problems from happening without supervisory intervention or assistance.
- *Employee makes significant contributions to the mission and priorities of the unit, office, region and constituencies on a regular basis.

Exceeds Expectations

This level signifies that the results achieved are clearly beyond what could be reasonably expected for Fully Successful performance.

Fully Successful

This level signifies the employee's performance results achieved are those that can be reasonably expected of any employee on the job in order to fully and adequately achieve assigned responsibilities.

Minimally Satisfactory

This level signifies that there is a performance-related problem(s) although the performance has not reached "Unacceptable" in any Critical Element. The employee demonstrates limited ability in producing work of acceptable volume and/or quality within established timeframes; or exhibits limited sense of personal responsibility and accountability in work assignments; or experiences difficulty in addressing new or unusual work situations under normal pressure; or requires frequent guidance and assistance from supervisor or others. When performance is rated at this level, informal assistance in the form of a Performance Assistance Plan (PAP) must be provided to the employee to help improve his/her performance to "Fully Successful."

Unacceptable

This level signifies the performance of the employee consistently fails to meet the established performance standards in one or more critical elements of the employee's position. When performance is rated at this level, a Performance Improvement Plan (PIP) must be implemented to help the employee improve his/her performance to "Fully Successful."

Determining Summary Performance Ratings

Apply the following process to determine the summary performance rating level for the year:

Outstanding

For a summary performance rating of Outstanding, the one half or more of the Critical Elements are rated Outstanding and none of the Critical Elements are rated lower than Exceeds Expectations.

Exceeds Expectations

For a summary performance rating of Exceeds Expectations, the one half or more of the Critical Elements are rated Exceeds Expectations and none of the Critical Elements are rated lower than Fully Successful.

Fully Successful

For a summary performance rating of Fully Successful, the majority of the Critical Elements are rated Fully Successful, and none of the Critical Elements are rated lower than Fully Successful.

Minimally Satisfactory

For a summary rating of Minimally Satisfactory, one or more Critical Elements are rated Minimally Satisfactory and none of the Critical Elements are rated Unacceptable.

Unacceptable

For a summary rating of Unacceptable, one or more Critical Elements are rated Unacceptable.



**EPA Performance Appraisal and Recognition System
Performance Plan and Summary Appraisal Package
Agency Benchmark Standards**

Instructions for Applying Standards: Ratings at all levels must be evaluated in the context of the grade level and job duties of the individual employee to the extent they apply to the critical element.

Outstanding

Delivers products or services that, to an extraordinary degree, support the Agency's strategic plan, programs, policies, organizational annual performance plans, or budget priorities. Products or services are of exceptional quality and provide exemplary models, skill, and knowledge of subject area. Products are consistently produced ahead of the expected timeframes and reliably comply with applicable statutes, regulations, and established policies and procedures. Adjusts with exceptional quickness and ease to changing priorities, consistently taking the lead. Products or services demonstrate exceptional research and analysis. Exhibits exceptional skills in independently planning, organizing, and prioritizing multiple assignments. Consistently develops and offers suggestions for organizational and work process improvements that substantially increase results, efficiency, or effectiveness. Communicates verbally and in writing with exceptional clarity and effectiveness, often on topics or issues that are emerging and without precedent. Written materials are always well received and easily understood by a range of individuals and groups and significantly promote the Agency's programs and mission. Provides exceptional leadership in promoting teamwork and collaboration across organizations. ***Measures and metrics may be included.***

Exceeds Expectations

Delivers products or services that, to a degree beyond what can reasonably be expected, support the Agency's strategic plan, programs, policies, organizational annual performance plans, or budget priorities. Products or services are of superior quality and provide excellent models for addressing the most difficult and complex work challenges and demonstrate high levels of creativity, skill, and knowledge of subject area. Products or services are frequently produced ahead of the expected timeframes and reliably comply with applicable statutes, regulations, and established policies and procedures. Adjusts quickly to changing priorities often taking the lead. Products or services demonstrate high quality research and analysis. Exhibits excellent skills in independently planning, organizing, and prioritizing multiple assignments. Frequently develops and offers suggestions for organizational and work process improvements that increase results, efficiency, or effectiveness. Communicates verbally and in writing with excellent clarity and effectiveness, often on topics or issues that are emerging and without precedent. Written materials are consistently well received and easily understood by a range of individuals and groups, significantly promoting the Agency's programs and mission. Provides high quality leadership in promoting teamwork and collaboration across organizations. ***Measures and metrics may be included.***

Fully Successful

Delivers products or services that support the Agency's strategic plan, programs, policies, organizational annual performance plans, or budget priorities. Products or services are of a good quality and provide good models for addressing work challenges and require high levels of creativity, skill, and knowledge of subject area. Products are produced within the expected timeframes and reliably comply with applicable statutes, regulations, and established

policies and procedures. Adjusts to changing priorities. Products or services demonstrate thorough research and analysis. Exhibits effective skills in independently planning, organizing, and prioritizing multiple assignments. Develops and offers suggestions for organizational and work process improvements that increase results, efficiency, or effectiveness. Effectively communicates verbally and in writing. Written materials are well received and easily understood by a range of individuals and groups promoting the Agency's programs and mission. Promotes teamwork and collaboration across organizations. **Measures and metrics may be included.**

Minimally Satisfactory

Delivers products or services that marginally support the Agency's strategic plan, policies, organizational annual performance plans, or budget priorities. Products or services demonstrate occasional deficiencies in creativity, skill, and knowledge of subject area. Products or services are occasionally produced in an untimely manner or do not comply with applicable statutes, regulations, and established policies and procedures. Has some difficulty adjusting to changing priorities. Products or services sometimes lack adequate research and analysis. Occasionally demonstrates difficulty with independently planning, organizing, and prioritizing multiple assignments. Infrequently offers suggestions for organizational and work process improvements that increase results, efficiency or effectiveness. Verbal and written communications lack clarity. Written materials are generally not well received or understood by a range of individuals and groups. Infrequently promotes teamwork and collaboration across organizations.

Measures and metrics may be included.

Unacceptable

Often delivers products or services that do not support Agency's strategic plan, programs, policies, organizational annual performance plans, or budget priorities. Products or services demonstrate frequent deficiencies in creativity, skill, and knowledge of subject area. Products are not produced in a timely manner and do not comply with applicable statutes, regulations, and established policies and procedures. Often has difficulty adjusting to changing priorities. Products or services often lack adequate research and analysis. Often demonstrates difficulty with independently planning, organizing, and prioritizing multiple assignments. Rarely offers suggestions for organizational and work process improvements that increase results, efficiency or effectiveness. Verbal and written communications often lack clarity. Written materials are frequently not well received or understood by a range of individuals and groups. Does not promote teamwork and collaboration across organizations. **Measures and metrics may be included.**

EPA Performance Plan for Richard Cool, NPDES Compliance Unit,

Critical Job Element 1:

Conducts timely and appropriate enforcement actions.

Strategic Plan elements supported by this CJE:

Goal(s) or Cross-Goal Strategy: Goal 5 - Compliance & Env. Stewardship

Objective(s)/Sub-Objectives (if applicable): Obj 5.1 - Improve Compliance; Sub-obj 5.1.3: Monitoring and Enforcement--identify, correct, and deter non-compliance and improve environmental risks through monitoring and enforcement by achieving:

- an increase in complying actions taken during inspections;
- an increase in the percent of enforcement actions requiring that pollutants be reduced, treated, or eliminated;
- an increase in the percent of enforcement actions requiring improvement of environmental management practices.

Assumptions:

Employee Performance Must be Evaluated against the Agency Benchmark Standards.

Measures and Metrics:

Analyze and and prepares supporting documentation to clearly identify alleged violations, associated elements of proof and supporting evidence. Technical and regulatory evaluations and documentation are factually correct, comport to Agency policies and guidance and reflect sufficient analysis and regulatory interpretation to support effective decision-making. Recommends appropriate formal enforcement follow-up in accordance with Agency policies and guidelines. Develops enforcement cases as assigned. Serves as the technical/regulatory member of the case team.

Follows regional procedures for preparing and routing enforcement documents and packages (e.g., NOV, complaints, referrals, compliance orders), for concurrence, signature and mailing. Prepares and implements communication plan (to ensure appropriate internal and external communication (e.g., OECA Weekly Report), including coordination of news releases with press office. Responsible for preparing all technical and program support documents sufficient to support the recommended course of action. Develops or obtains engineering, scientific or regulatory analysis to evaluate nature and extent of non-compliance. Applies Agency policies to identify appropriate gravity and economic benefit elements for penalty assessments and adjustments and appropriateness and credit for Supplemental Environmental Projects. Ensures coordination with all affected offices or organizations (e.g., ORC, CID, and DOJ). Reporting of activities to regional or national data or tracking systems is accurate, complete and timely and that the reporting for national or regional data bases and tracking (e.g., Case Conclusion Data Sheets) is completed in a timely fashion with complete information, per Regional guidance and standard operating procedures.

Delivers quality products and/or services that support the Agency's mission, strategic goals, programs and policy objectives, and/or annual performance plans and budget priorities and that meet customer expectations. Organizes and sets priorities for routine work. Completes quality (and set volume of) work within required time frames that complies with established policies and procedures. Communicates/responds clearly, professionally and timely, effectively and accurately representing the organization by keeping abreast of Agency policies and program. Produces written materials that are grammatically correct, clear, concise, accurate and thoroughly researched, reflecting Agency policy and integrated appropriately with other Agency offices. Develops and implements solutions to problems and offers suggestions for improvements independently and acceptably without supervisory intervention within delegated authority of job responsibility. Works effectively with peers and superiors.

Supervisor's Notes: *

* Written highlights are required to support an element rating of Outstanding, Minimally Satisfactory, or Unsatisfactory.

Rating:

☐ Outstanding



Exceeds Expectations

☐ Fully Successful

☐ Minimally Satisfactory

☐ Unsatisfactory

EPA Performance Plan for Richard Cool, NPDES Compliance Unit

Critical Job Element 2:

Conducts non-inspection compliance monitoring and conducts inspections

Strategic Plan elements supported by this CJE:

Goal(s) or Cross-Goal Strategy: Goal 5 - Compliance & Env. Stewardship

Objective(s)/Sub-Objectives (if applicable): Obj 5.1 - Improve Compliance; Sub-obj 5.1.3: Monitoring and Enforcement—identify, correct, and deter non-compliance and improve environmental risks through monitoring and enforcement by achieving:

- an increase in complying actions taken during inspections;
- an increase in the percent of enforcement actions requiring that pollutants be reduced, treated, or eliminated;
- an increase in the percent of enforcement actions requiring improvement of environmental management practices.

Assumptions:

Employee Performance Must be Evaluated against the Agency Benchmark Standards.

Measures and Metrics:

Non-inspection Compliance Monitoring:

Reviews and evaluates records, notifications, documents, respondent submittals, national or regional databases (QNCR, Watch List, Match List), self-disclosure notices and other information to determine compliance with regulations, permits, orders or decrees. Determines if the technical or regulatory compliance requirements are met or if additional environmental or process controls/actions are necessary. Reviews and coordinates work as appropriate with ORC/CID and/or other agencies. Recommends or conducts appropriate compliance follow-up and prepares post-evaluation correspondence (e.g., warning letters, post-inspection letters, requests for information, notices of violation). Follows-up

and monitors respondents' return to compliance. Compliance evaluation and assessment documents are factually correct and reflect sufficient analysis and regulatory interpretation to support effective decision-making. Reporting of activities to regional or national data or tracking systems is accurate, complete and timely. Tracks compliance with terms of enforcement settlements or decrees; initiates appropriate follow-up action for any noncompliance with the terms of settlement.

Conducting Inspections:

Time and resources are efficiently used to plan and conduct quality inspections. Quality inspections are the result of appropriate research, careful inter-office communications and planning. Coordination with programs, other inspectors, and other appropriate organizations are completed in a timely fashion. Inspections are conducted in a thorough, professional manner. Site conditions and compliance status are properly documented in accordance with methods outlined in Regional guidance and standard operating procedures. Detailed information, documentation and samples are collected to support findings. Compliance assistance and pollution prevention referrals and reference materials are provided on site when available and appropriate. Completed Inspection Reports are timely, clear, concise and adequately document the information from the inspections; meet the Regional guidance and standard operating procedures and are able to support appropriate enforcement actions. Inspection Conclusion Data Sheets and are completed in a timely fashion with complete information per Regional guidance and standard operating procedures.

Delivers quality products and/or services that support the Agency's mission, strategic goals, programs and policy objectives, and/or annual performance plans and budget priorities and that meet customer expectations. Organizes and sets priorities for routine work. Completes quality (and set volume of) work within required time frames that complies with established policies and procedures. Communicates/responds clearly, professionally and timely, effectively and accurately representing the organization by keeping abreast of Agency policies and program. Produces written materials that are grammatically correct, clear, concise, accurate and thoroughly researched, reflecting Agency policy and integrated appropriately with other Agency offices. Develops and implements solutions to problems and offers suggestions for improvements independently and acceptably without supervisory intervention within delegated authority of job responsibility. Works effectively with peers and superiors.

Supervisor's Notes: *

* Written highlights are required to support an element rating of Outstanding, Minimally Satisfactory, or Unsatisfactory.

Rating:

☐ Outstanding ☒ Exceeds Expectations ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

EPA Performance Plan for Richard Cool, NPDES Compliance Unit

Critical Job Element 3:

Oil and Gas Compliance and Enforcement Sector Lead

Strategic Plan elements supported by this CJE:

Goal(s) or Cross-Goal Strategy: Goal 5 - Compliance & Env. Stewardship

Objective(s)/Sub-Objectives (if applicable): Obj 5.1 - Improve Compliance; Sub-obj 5.1.3: Monitoring and Enforcement—identify, correct, and deter non-compliance and improve environmental risks through monitoring and enforcement by achieving:

- an increase in complying actions taken during inspections;
- an increase in the percent of enforcement actions requiring that pollutants be reduced, treated, or eliminated;
- an increase in the percent of enforcement actions requiring improvement of environmental management practices.

Assumptions:

Employee Performance Must be Evaluated against the Agency Benchmark Standards.

Measures and Metrics:

Responsible for employing a variety of tools to ensure NPDES compliance for the assigned sector(s). Understands and advocates for Agency's position, philosophy, policies, procedures, contacts, responsibilities, projects. Effectively

communicates sector's progress, projects, needs (which may include contract dollars and contract management) and issues to management. Develops relationships internally and externally (e.g. R 10, HQ, other government agencies and the public) and convenes appropriate stakeholders for fact gathering, information sharing, and decision-making. Represents the Region on national work groups where appropriate. Leads sector planning, including inspection planning, tracking and reporting (PCS, ICIS and ACS). Is aware of state PPA and PPG commitments within the assigned sector(s) area and coordinates sector work accordingly. Provides assistance to inspectors during inspection preparations as requested. Reviews and comments on draft NPDES permits to ensure permit language is enforceable. Ensures enforcement responses are consistent with Agency and Regional strategy and policy, or if not, are justified given site-specific information.

Delivers quality products and/or services that support the Agency's mission, strategic goals, programs and policy objectives, and/or annual performance plans and budget priorities and that meet customer expectations. Organizes and sets priorities for routine work. Completes quality (and set volume of) work within required time frames that complies with established policies and procedures. Communicates/responds clearly, professionally and timely, effectively and accurately representing the organization by keeping abreast of Agency policies and program. Produces written materials that are grammatically correct, clear, concise, accurate and thoroughly researched, reflecting Agency policy and integrated appropriately with other Agency offices. Develops and implements solutions to problems and offers suggestions for improvements independently and acceptably without supervisory intervention within delegated authority of job responsibility. Works effectively with peers and superiors.

Supervisor's Notes: *

* Written highlights are required to support an element rating of Outstanding, Minimally Satisfactory, or Unsatisfactory.

Rating:

☐ Outstanding ☒ Exceeds Expectations ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

EPA Performance Plan for Richard Cool, NPDES Compliance Unit

Critical Job Element 4:

State Oversight for Alaska

Strategic Plan elements supported by this CJE:

Goal(s) or Cross-Goal Strategy: Goal 5 - Compliance & Env. Stewardship

Objective(s)/Sub-Objectives (if applicable): Obj 5.1 - Improve Compliance; Sub-obj 5.1.3: Monitoring and Enforcement--identify, correct, and deter non-compliance and improve environmental risks through monitoring and enforcement by achieving:

- an increase in complying actions taken during inspections;
- an increase in the percent of enforcement actions requiring that pollutants be reduced, treated, or eliminated;
- an increase in the percent of enforcement actions requiring improvement of environmental management practices.

Assumptions:

Employee Performance Must be Evaluated against the Agency Benchmark Standards.

Measures and Metrics:

Responsible for overseeing the NPDES Program in the state of Alaska. Participates in PPA/PPG development and status meetings. Understands and advocates for the Agency's position, philosophy, policies (specifically the annual National Mangers Program Guidance (NMP)), procedures, contacts. Responsible for participating in state program reviews. Tracks PPA/PPG commitments and reports out periodically the status of both EPA and ODEQ commitments for NPDES Compliance related tasks. Conducts oversight inspections (meeting the outputs of CJE 2 above) when appropriate. Assists in gathering state information to report to OECA for core program functions and national priority areas when requested. Identifies tasks/areas where work share agreements may be developed, as resources allow, to assist the state in meeting the NMP expectations.

Delivers quality products and/or services that support the Agency's mission, strategic goals, programs and policy objectives, and/or annual performance plans and budget priorities and that meet customer expectations. Organizes and sets priorities for routine work. Completes quality (and set volume of) work within required time frames that complies

with established policies and procedures. Communicates/responds clearly, professionally and timely, effectively and accurately representing the organization by keeping abreast of Agency policies and program. Produces written materials that are grammatically correct, clear, concise, accurate and thoroughly researched, reflecting Agency policy and integrated appropriately with other Agency offices. Develops and implements solutions to problems and offers suggestions for improvements independently and acceptably without supervisory intervention within delegated authority of job responsibility. Works effectively with peers and superiors.

Supervisor's Notes: *	
* Written highlights are required to support an element rating of Outstanding, Minimally Satisfactory, or Unsatisfactory.	
Rating: <input type="checkbox"/> Outstanding <input checked="" type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Fully Successful <input type="checkbox"/> Minimally Satisfactory <input type="checkbox"/> Unsatisfactory	
EPA Performance Plan for Richard Cool, NPDES Compliance Unit	
Strategic Plan elements supported by this CJE:	
Assumptions:	
Employee Performance Must be Evaluated against the Agency Benchmark Standards.	
Measures and Metrics:	
Supervisor's Notes: *	
* Written highlights are required to support an element rating of Outstanding, Minimally Satisfactory, or Unsatisfactory.	
Rating: <input type="checkbox"/> Outstanding <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Fully Successful <input type="checkbox"/> Minimally Satisfactory <input type="checkbox"/> Unsatisfactory	



**EPA Performance Appraisal and Recognition System
Performance Plan Coversheet
AFGE Bargaining Unit**

Employee Name: Richard Cool	Title, Series, Grade: Environmental Engineer, 0819, 13
Performance Period: 10/01/2013 - 09/30/2014	Organizational Location: NPDES Compliance Unit

PRIVACY ACT STATEMENT

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**EPA Performance Appraisal and Recognition System
Performance Plan Coversheet
AFGE Bargaining Unit**

Employee Name: Richard Cool	Title, Series, Grade: Environmental Engineer, 0819, 13
Performance Period: 10/01/2013 - 09/30/2014	Organizational Location: NPDES Compliance Unit

SECTION 1. DETERMINING CRITICAL ELEMENTS AND SETTING STANDARDS

My supervisor and I have discussed the critical elements that I will be rated against during the course of this rating period.

Employee's Signature and Date

Richard Cool 11/25/13

Supervisor's Signature and Date

Jeffrey Wright 11/19/13

Individual being rated is a: Employee

Linking CEs It is important that critical elements (CEs) be linked to the Agency Strategic Plan, or to a Regional Strategic Plan, as appropriate. The Plan contains five long-term, results-based environmental goals. It also describes seven Cross-Goal Strategies. If you link a CE to a Goal, then use the relevant objective(s) to more specifically define the linkage. If your duties include the performance of cross-Agency or cross-media work (including administrative, financial or legal support functions, or information management) then it may be more appropriate to link each CE to a Strategy, rather than to an environmental Goal. For management and support functions not captured by the seven Cross-Goal Strategies, use the alternative linkage statement: *This work is an enabling and support function that supports the outcomes of all five of the Agency's strategic goals.*

Indicate which Strategic Plan Goal(s) is/are linked to the Critical Elements for this position:

SECTION 2. PROGRESS REVIEW(S)

	Mid Year Review (Required)	PARS Changes during Performance Cycle**	"Other" Review (Optional)
Supervisor's Initials and Date	<i>JK</i> 9/22/14		

My supervisor and I have discussed my performance for this period in relation to my performance standards and measures.

Employee's Initials and Date	<i>RC</i> 4/22/14		
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SECTION 3. END OF YEAR RATING

Summary Rating Levels* <i>Exceeds Expectations</i> *See next page for definitions and additional guidance	Learning and Development My supervisor and I have discussed my training needs for the year and an Individual Development Plan (IDP). <input type="checkbox"/> is attached <input type="checkbox"/> is not attached
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My supervisor and I have discussed my performance for the calendar year in relation to my performance standards and measures. My supervisor has informed me of my rating of record.

Supervisor's Signature and Date <i>Jeffrey Wright</i> 10/31/14	Employee's Signature and Date <i>Richard Cool</i> 11/3/14
Higher Level Supervisor's Signature and Date	Employee Comments <input type="checkbox"/> Is Attached <input checked="" type="checkbox"/> Is Not Attached <i>NOT APP</i>



**EPA Performance Appraisal and Recognition System
Performance Plan Coversheet
AFGE Bargaining Unit**

Definitions of Summary Rating Levels

Outstanding

- *Consistently proposes new, creative approaches and practical ideas that are accepted by fellow workers and incorporated into day-to-day work operations to improve efficiency and effectiveness of the work.
- *Coworkers are motivated and energized by employee's actions and the employee is often sought for advice concerning complex, controversial, and difficult issues prior to implementation.
- *Employee is consistently proactive, demonstrates initiative, and uses exceptional judgment.
- *Understands the political realities of situations, keeps supervisor and/or Team Leader informed of issues and problems and uses discretion in keeping sensitive matters confidential.
- *Employee most often resolves problems independently and effectively eliminates problems from happening without supervisory intervention or assistance.
- *Employee makes significant contributions to the mission and priorities of the unit, office, region and constituencies on a regular basis.

Exceeds Expectations

This level signifies that the results achieved are clearly beyond what could be reasonably expected for Fully Successful performance.

Fully Successful

This level signifies the employee's performance results achieved are those that can be reasonably expected of any employee on the job in order to fully and adequately achieve assigned responsibilities.

Minimally Satisfactory

This level signifies that there is a performance-related problem(s) although the performance has not reached "Unacceptable" in any Critical Element. The employee demonstrates limited ability in producing work of acceptable volume and/or quality within established timeframes; or exhibits limited sense of personal responsibility and accountability in work assignments; or experiences difficulty in addressing new or unusual work situations under normal pressure; or requires frequent guidance and assistance from supervisor or others. When performance is rated at this level, informal assistance in the form of a Performance Assistance Plan (PAP) must be provided to the employee to help improve his/her performance to "Fully Successful."

Unacceptable

This level signifies the performance of the employee consistently fails to meet the established performance standards in one or more critical elements of the employee's position. When performance is rated at this level, a Performance Improvement Plan (PIP) must be implemented to help the employee improve his/her performance to "Fully Successful."

Determining Summary Performance Ratings

Apply the following process to determine the summary performance rating level for the year:

Outstanding

For a summary performance rating of Outstanding, the one half or more of the Critical Elements are rated Outstanding and none of the Critical Elements are rated lower than Exceeds Expectations.

Exceeds Expectations

For a summary performance rating of Exceeds Expectations, the one half or more of the Critical Elements are rated Exceeds Expectations and none of the Critical Elements are rated lower than Fully Successful.

Fully Successful

For a summary performance rating of Fully Successful, the majority of the Critical Elements are rated Fully Successful, and none of the Critical Elements are rated lower than Fully Successful.

Minimally Satisfactory

For a summary rating of Minimally Satisfactory, one or more Critical Elements are rated Minimally Satisfactory and none of the Critical Elements are rated Unacceptable.

Unacceptable

For a summary rating of Unacceptable, one or more Critical Elements are rated Unacceptable.



**EPA Performance Appraisal and Recognition System
Performance Plan and Summary Appraisal Package
Agency Benchmark Standards**

Instructions for Applying Standards: Ratings at all levels must be evaluated in the context of the grade level and job duties of the individual employee to the extent they apply to the critical element.

Outstanding

Delivers products or services that, to an extraordinary degree, support the Agency's strategic plan, programs, policies, organizational annual performance plans, or budget priorities. Products or services are of exceptional quality and provide exemplary models, skill, and knowledge of subject area. Products are consistently produced ahead of the expected timeframes and reliably comply with applicable statutes, regulations, and established policies and procedures. Adjusts with exceptional quickness and ease to changing priorities, consistently taking the lead. Products or services demonstrate exceptional research and analysis. Exhibits exceptional skills in independently planning, organizing, and prioritizing multiple assignments. Consistently develops and offers suggestions for organizational and work process improvements that substantially increase results, efficiency, or effectiveness. Communicates verbally and in writing with exceptional clarity and effectiveness, often on topics or issues that are emerging and without precedent. Written materials are always well received and easily understood by a range of individuals and groups and significantly promote the Agency's programs and mission. Provides exceptional leadership in promoting teamwork and collaboration across organizations. *Measures and metrics may be included.*

Exceeds Expectations

Delivers products or services that, to a degree beyond what can reasonably be expected, support the Agency's strategic plan, programs, policies, organizational annual performance plans, or budget priorities. Products or services are of superior quality and provide excellent models for addressing the most difficult and complex work challenges and demonstrate high levels of creativity, skill, and knowledge of subject area. Products or services are frequently produced ahead of the expected timeframes and reliably comply with applicable statutes, regulations, and established policies and procedures. Adjusts quickly to changing priorities often taking the lead. Products or services demonstrate high quality research and analysis. Exhibits excellent skills in independently planning, organizing, and prioritizing multiple assignments. Frequently develops and offers suggestions for organizational and work process improvements that increase results, efficiency, or effectiveness. Communicates verbally and in writing with excellent clarity and effectiveness, often on topics or issues that are emerging and without precedent. Written materials are consistently well received and easily understood by a range of individuals and groups, significantly promoting the Agency's programs and mission. Provides high quality leadership in promoting teamwork and collaboration across organizations. *Measures and metrics may be included.*

Fully Successful

Delivers products or services that support the Agency's strategic plan, programs, policies, organizational annual performance plans, or budget priorities. Products or services are of a good quality and provide good models for addressing work challenges and require high levels of creativity, skill, and knowledge of subject area. Products are produced within the expected timeframes and reliably comply with applicable statutes, regulations, and established

policies and procedures. Adjusts to changing priorities. Products or services demonstrate thorough research and analysis. Exhibits effective skills in independently planning, organizing, and prioritizing multiple assignments. Develops and offers suggestions for organizational and work process improvements that increase results, efficiency, or effectiveness. Effectively communicates verbally and in writing. Written materials are well received and easily understood by a range of individuals and groups promoting the Agency's programs and mission. Promotes teamwork and collaboration across organizations. **Measures and metrics may be included.**

Minimally Satisfactory

Delivers products or services that marginally support the Agency's strategic plan, policies, organizational annual performance plans, or budget priorities. Products or services demonstrate occasional deficiencies in creativity, skill, and knowledge of subject area. Products or services are occasionally produced in an untimely manner or do not comply with applicable statutes, regulations, and established policies and procedures. Has some difficulty adjusting to changing priorities. Products or services sometimes lack adequate research and analysis. Occasionally demonstrates difficulty with independently planning, organizing, and prioritizing multiple assignments. Infrequently offers suggestions for organizational and work process improvements that increase results, efficiency or effectiveness. Verbal and written communications lack clarity. Written materials are generally not well received or understood by a range of individuals and groups. Infrequently promotes teamwork and collaboration across organizations.

Measures and metrics may be included.

Unacceptable

Often delivers products or services that do not support Agency's strategic plan, programs, policies, organizational annual performance plans, or budget priorities. Products or services demonstrate frequent deficiencies in creativity, skill, and knowledge of subject area. Products are not produced in a timely manner and do not comply with applicable statutes, regulations, and established policies and procedures. Often has difficulty adjusting to changing priorities. Products or services often lack adequate research and analysis. Often demonstrates difficulty with independently planning, organizing, and prioritizing multiple assignments. Rarely offers suggestions for organizational and work process improvements that increase results, efficiency or effectiveness. Verbal and written communications often lack clarity. Written materials are frequently not well received or understood by a range of individuals and groups. Does not promote teamwork and collaboration across organizations. **Measures and metrics may be included.**

EPA Performance Plan for Richard Cool, NPDES Compliance Unit,

Critical Job Element 1:

Conducts timely and appropriate enforcement actions.

Strategic Plan elements supported by this CJE:

Goal(s) or Cross-Goal Strategy: Goal 5 - Compliance & Env. Stewardship

Objective(s)/Sub-Objectives (if applicable): Obj 5.1 - Improve Compliance; Sub-obj 5.1.3: Monitoring and Enforcement—identify, correct, and deter non-compliance and improve environmental risks through monitoring and enforcement by achieving:

- an increase in complying actions taken during inspections;
- an increase in the percent of enforcement actions requiring that pollutants be reduced, treated, or eliminated;
- an increase in the percent of enforcement actions requiring improvement of environmental management practices.

Assumptions:

Employee Performance Must be Evaluated against the Agency Benchmark Standards.

Measures and Metrics:

Analyze and and prepares supporting documentation to clearly identify alleged violations, associated elements of proof and supporting evidence. Technical and regulatory evaluations and documentation are factually correct, comport to Agency policies and guidance and reflect sufficient analysis and regulatory interpretation to support effective decision-making. Recommends appropriate formal enforcement follow-up in accordance with Agency policies and guidelines. Develops enforcement cases as assigned. Serves as the technical/regulatory member of the case team.

Follows regional procedures for preparing and routing enforcement documents and packages (e.g., NOV's, complaints, referrals, compliance orders), for concurrence, signature and mailing. Prepares and implements communication plan (to ensure appropriate internal and external communication (e.g., OECA Weekly Report), including coordination of news releases with press office. Responsible for preparing all technical and program support documents sufficient to support the recommended course of action. Develops or obtains engineering, scientific or regulatory analysis to evaluate nature and extent of non-compliance. Applies Agency policies to identify appropriate gravity and economic benefit elements for penalty assessments and adjustments and appropriateness and credit for Supplemental Environmental Projects. Ensures coordination with all affected offices or organizations (e.g., ORC, CID, and DOJ). Reporting of activities to regional or national data or tracking systems is accurate, complete and timely and that the reporting for national or regional data bases and tracking (e.g., Case Conclusion Data Sheets) is completed in a timely fashion with complete information, per Regional guidance and standard operating procedures.

Delivers quality products and/or services that support the Agency's mission, strategic goals, programs and policy objectives, and/or annual performance plans and budget priorities and that meet customer expectations. Organizes and sets priorities for routine work. Completes quality (and set volume of) work within required time frames that complies with established policies and procedures. Communicates/responds clearly, professionally and timely, effectively and accurately representing the organization by keeping abreast of Agency policies and program. Produces written materials that are grammatically correct, clear, concise, accurate and thoroughly researched, reflecting Agency policy and integrated appropriately with other Agency offices. Develops and implements solutions to problems and offers suggestions for improvements independently and acceptably without supervisory intervention within delegated authority of job responsibility. Works effectively with peers and superiors.

Supervisor's Notes: *

* Written highlights are required to support an element rating of Outstanding, Minimally Satisfactory, or Unsatisfactory.

Rating:

☐ Outstanding

☒ Exceeds Expectations

☐ Fully Successful

☐ Minimally Satisfactory

☐ Unsatisfactory

EPA Performance Plan for Richard Cool, NPDES Compliance Unit

Critical Job Element 2:

Conducts non-inspection compliance monitoring and conducts inspections

Strategic Plan elements supported by this CJE:

Goal(s) or Cross-Goal Strategy: Goal 5 - Compliance & Env. Stewardship

Objective(s)/Sub-Objectives (if applicable): Obj 5.1 - Improve Compliance; Sub-obj 5.1.3: Monitoring and Enforcement--identify, correct, and deter non-compliance and improve environmental risks through monitoring and enforcement by achieving:

-an increase in complying actions taken during inspections;

-an increase in the percent of enforcement actions requiring that pollutants be reduced, treated, or eliminated;

-an increase in the percent of enforcement actions requiring improvement of environmental management practices.

Assumptions:

Employee Performance Must be Evaluated against the Agency Benchmark Standards.

Measures and Metrics:

Non-inspection Compliance Monitoring:

Reviews and evaluates records, notifications, documents, respondent submittals, national or regional databases (QNCR, Watch List, Match List), self-disclosure notices and other information to determine compliance with regulations, permits, orders or decrees. Determines if the technical or regulatory compliance requirements are met or if additional environmental or process controls/actions are necessary. Reviews and coordinates work as appropriate with ORC/CID and/or other agencies. Recommends or conducts appropriate compliance follow-up and prepares post-evaluation correspondence (e.g., warning letters, post-inspection letters, requests for information, notices of violation). Follows-up

and monitors respondents' return to compliance. Compliance evaluation and assessment documents are factually correct and reflect sufficient analysis and regulatory interpretation to support effective decision-making. Reporting of activities to regional or national data or tracking systems is accurate, complete and timely. Tracks compliance with terms of enforcement settlements or decrees; initiates appropriate follow-up action for any noncompliance with the terms of settlement.

Conducting Inspections:

Time and resources are efficiently used to plan and conduct quality inspections. Quality inspections are the result of appropriate research, careful inter-office communications and planning. Coordination with programs, other inspectors, and other appropriate organizations are completed in a timely fashion. Inspections are conducted in a thorough, professional manner. Site conditions and compliance status are properly documented in accordance with methods outlined in Regional guidance and standard operating procedures. Detailed information, documentation and samples are collected to support findings. Compliance assistance and pollution prevention referrals and reference materials are provided on site when available and appropriate. Completed Inspection Reports are timely, clear, concise and adequately document the information from the inspections; meet the Regional guidance and standard operating procedures and are able to support appropriate enforcement actions. Inspection Conclusion Data Sheets and are completed in a timely fashion with complete information per Regional guidance and standard operating procedures.

Delivers quality products and/or services that support the Agency's mission, strategic goals, programs and policy objectives, and/or annual performance plans and budget priorities and that meet customer expectations. Organizes and sets priorities for routine work. Completes quality (and set volume of) work within required time frames that complies with established policies and procedures. Communicates/responds clearly, professionally and timely, effectively and accurately representing the organization by keeping abreast of Agency policies and program. Produces written materials that are grammatically correct, clear, concise, accurate and thoroughly researched, reflecting Agency policy and integrated appropriately with other Agency offices. Develops and implements solutions to problems and offers suggestions for improvements independently and acceptably without supervisory intervention within delegated authority of job responsibility. Works effectively with peers and superiors.

Supervisor's Notes: *

* Written highlights are required to support an element rating of Outstanding, Minimally Satisfactory, or Unsatisfactory.

Rating:

☐ Outstanding ☒ Exceeds Expectations ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

EPA Performance Plan for Richard Cool, NPDES Compliance Unit

Critical Job Element 3:

Oil and Gas Compliance and Enforcement Sector Lead

Strategic Plan elements supported by this CJE:

Goal(s) or Cross-Goal Strategy: Goal 5 - Compliance & Env. Stewardship

Objective(s)/Sub-Objectives (if applicable): Obj 5.1 - Improve Compliance; Sub-obj 5.1.3: Monitoring and Enforcement--identify, correct, and deter non-compliance and improve environmental risks through monitoring and enforcement by achieving:

- an increase in complying actions taken during inspections;
- an increase in the percent of enforcement actions requiring that pollutants be reduced, treated, or eliminated;
- an increase in the percent of enforcement actions requiring improvement of environmental management practices.

Assumptions:

Employee Performance Must be Evaluated against the Agency Benchmark Standards.

Measures and Metrics:

Responsible for employing a variety of tools to ensure NPDES compliance for the assigned sector(s). Understands and advocates for Agency's position, philosophy, policies, procedures, contacts, responsibilities, projects. Effectively

communicates sector's progress, projects, needs (which may include contract dollars and contract management) and issues to management. Develops relationships internally and externally (e.g. R 10, HQ, other government agencies and the public) and convenes appropriate stakeholders for fact gathering, information sharing, and decision-making. Represents the Region on national work groups where appropriate. Leads sector planning, including inspection planning, tracking and reporting (PCS, ICIS and ACS). Is aware of state PPA and PPG commitments within the assigned sector(s) area and coordinates sector work accordingly. Provides assistance to inspectors during inspection preparations as requested. Reviews and comments on draft NPDES permits to ensure permit language is enforceable. Ensures enforcement responses are consistent with Agency and Regional strategy and policy, or if not, are justified given site-specific information.

Delivers quality products and/or services that support the Agency's mission, strategic goals, programs and policy objectives, and/or annual performance plans and budget priorities and that meet customer expectations. Organizes and sets priorities for routine work. Completes quality (and set volume of) work within required time frames that complies with established policies and procedures. Communicates/responds clearly, professionally and timely, effectively and accurately representing the organization by keeping abreast of Agency policies and program. Produces written materials that are grammatically correct, clear, concise, accurate and thoroughly researched, reflecting Agency policy and integrated appropriately with other Agency offices. Develops and implements solutions to problems and offers suggestions for improvements independently and acceptably without supervisory intervention within delegated authority of job responsibility. Works effectively with peers and superiors.

Supervisor's Notes: *

* Written highlights are required to support an element rating of Outstanding, Minimally Satisfactory, or Unsatisfactory.

Rating:

☐ Outstanding ☒ Exceeds Expectations ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

EPA Performance Plan for Richard Cool, NPDES Compliance Unit

Critical Job Element 4:

State Oversight for Alaska

Strategic Plan elements supported by this CJE:

Goal(s) or Cross-Goal Strategy: Goal 5 - Compliance & Env. Stewardship

Objective(s)/Sub-Objectives (if applicable): Obj 5.1 - Improve Compliance; Sub-obj 5.1.3: Monitoring and Enforcement--identify, correct, and deter non-compliance and improve environmental risks through monitoring and enforcement by achieving:

- an increase in complying actions taken during inspections;
- an increase in the percent of enforcement actions requiring that pollutants be reduced, treated, or eliminated;
- an increase in the percent of enforcement actions requiring improvement of environmental management practices.

Assumptions:

Employee Performance Must be Evaluated against the Agency Benchmark Standards.

Measures and Metrics:

Responsible for overseeing the NPDES Program in the state of Alaska. Participates in PPA/PPG development and status meetings. Understands and advocates for the Agency's position, philosophy, policies (specifically the annual National Mangers Program Guidance (NMP)), procedures, contacts. Responsible for participating in state program reviews. Tracks PPA/PPG commitments and reports out periodically the status of both EPA and ODEQ commitments for NPDES Compliance related tasks. Conducts oversight inspections (meeting the outputs of CJE 2 above) when appropriate. Assists in gathering state information to report to OECA for core program functions and national priority areas when requested. Identifies tasks/areas where work share agreements may be developed, as resources allow, to assist the state in meeting the NMP expectations.

Delivers quality products and/or services that support the Agency's mission, strategic goals, programs and policy objectives, and/or annual performance plans and budget priorities and that meet customer expectations. Organizes and sets priorities for routine work. Completes quality (and set volume of) work within required time frames that complies

with established policies and procedures. Communicates/responds clearly, professionally and timely, effectively and accurately representing the organization by keeping abreast of Agency policies and program. Produces written materials that are grammatically correct, clear, concise, accurate and thoroughly researched, reflecting Agency policy and integrated appropriately with other Agency offices. Develops and implements solutions to problems and offers suggestions for improvements independently and acceptably without supervisory intervention within delegated authority of job responsibility. Works effectively with peers and superiors.

Supervisor's Notes: *

* Written highlights are required to support an element rating of Outstanding, Minimally Satisfactory, or Unsatisfactory.

Rating:

☒ Outstanding ☐ Exceeds Expectations ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

EPA Performance Plan for Richard Cool, NPDES Compliance Unit

Strategic Plan elements supported by this CJE:

Assumptions:

Employee Performance Must be Evaluated against the Agency Benchmark Standards.

Measures and Metrics:

Supervisor's Notes: *

* Written highlights are required to support an element rating of Outstanding, Minimally Satisfactory, or Unsatisfactory.

Rating:

☐ Outstanding ☐ Exceeds Expectations ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

EPA Performance Appraisal and Recognition System (PARS) 10/1/13 – 9/30/14

Employee: Rick Cool
Supervisor: Jeff KenKnight
Summary Rating: Exceeds Expectations

CJE1: Conducts timely and appropriate enforcement actions
Rating: Exceeds Expectations

CJE2: Conducts non-inspection compliance monitoring and inspections
Rating: Exceeds Expectations

CJE3: Oil and Gas Compliance and Enforcement Sector Lead
Rating: Exceeds Expectations

CJE4: State Oversight for Alaska
Rating: Outstanding

Narrative/outcomes, outputs, supervisor notes:

In FY14 Rick is recognized for his continued outstanding effort related to EPA's oversight of the state of Alaska water enforcement program. Rick has led the effort to comprehensively review the state's water enforcement program via EPA's State Review Framework. This year Rick focused on drafting a very comprehensive and detailed report, documenting EPA's findings and identifying key corrective actions for the state to implement in response to the report. Rick is a strong advocate of accountability and was a critical player in the development of a performance benchmark approach. The performance benchmark approach sets a national model for other Regions to follow when attempting to address significant enforcement program deficiencies. Thanks Rick!

EPA Performance Appraisal and Recognition System
Performance Plan Coversheet

Employee Name: Richard Cool	Title, Series, Grade: Environmental Engineer, 0819, 12
Performance Period: 10/01/2012 - 09/30/2013	Organizational Location: NPDES Compliance Unit

PRIVACY ACT STATEMENT

The maintenance of this information is governed by Privacy Act system of records OPM/GOVT-2. The authority for the maintenance of this system is 5 U.S.C. 1104, 3321, 4305, and 5405, and Executive Order 12107. This information is required. Not providing this information may hinder the Agency's ability to process personnel actions concerning you. This information is used to define the critical elements, performance standards, and performance measures directly related to your job. It will be used to document your mid-year review, any other reviews, and your end of year rating. The information may also be used in connection with selection for and publication of cash and honor awards; other personnel actions based on performance such as training and development decisions; the hiring or retention of an individual or the issuance of other benefits; relevant judicial or administrative proceedings; law enforcement purposes; personnel research or survey purposes; and negotiated grievance procedures. Disclosure may also be made to the MSPB, the EEOC, and other Federal agencies for purposes authorized by law; to a Congressional office at your request; and to officials of labor organizations when relevant and necessary to their duties as exclusive representatives of Federal employees. This is a summary of the routine uses for these records. For a full description of this system notice, including routine uses, see 65 FR 24737 (Apr. 27, 2000).

Do Not Remove this Coversheet until the Entire Form Is Placed in the Employee Performance File in the Servicing Human Resources Office.



EPA Performance Appraisal and Recognition System Performance Plan Coversheet

Employee Name: Richard Cool	Title, Series, Grade: Environmental Engineer, 0819, 12
Performance Period: 10/01/2012 - 09/30/2013	Organizational Location: NPDES Compliance Unit

SECTION 1. DETERMINING CRITICAL ELEMENTS AND SETTING STANDARDS

My supervisor and I have discussed the critical elements that I will be rated against during the course of this rating period.

Employee's Signature and Date <i>Richard Cool</i> 11/26/12	Supervisor's Signature and Date <i>Jeff Kniffen</i> 12/31/12
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Individual being rated is a: Employee

Linking CEs It is important that critical elements (CEs) be linked to the Agency Strategic Plan, or to a Regional Strategic Plan, as appropriate. The Plan contains five long-term, results-based environmental goals. It also describes seven Cross-Goal Strategies. If you link a CE to a Goal, then use the relevant objective(s) to more specifically define the linkage. If your duties include the performance of cross-Agency or cross-media work (including administrative, financial or legal support functions, or information management) then it may be more appropriate to link each CE to a Strategy, rather than to an environmental Goal. For management and support functions not captured by the seven Cross-Goal Strategies, use the alternative linkage statement: *This work is an enabling and support function that supports the outcomes of all five of the Agency's strategic goals.*

Indicate which Strategic Plan Goal(s) is/are linked to the Critical Elements for this position:

SECTION 2. PROGRESS REVIEW(S)

	Mid Year Review (Required)	PARS Changes during Performance Cycle**	"Other" Review (Optional)
Supervisor's Initials and Date	<i>JK</i> 4/24/13		

My supervisor and I have discussed my performance for this period in relation to my performance standards and measures.

Employee's Initials and Date	<i>RC</i> 11/25/13		
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SECTION 3. END OF YEAR RATING

Summary Rating Levels* <i>Exceeds Expectations</i> *See next page for definitions and additional guidance	Learning and Development My supervisor and I have discussed my training needs for the year and an Individual Development Plan (IDP). <input type="checkbox"/> is attached <input type="checkbox"/> is not attached
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My supervisor and I have discussed my performance for the calendar year in relation to my performance standards and measures. My supervisor has informed me of my rating of record.

Supervisor's Signature and Date <i>Jeff Kniffen</i>	Employee's Signature and Date <i>Richard Cool</i> 11/25/13
Higher Level Supervisor's Signature and Date	Employee Comments <input type="checkbox"/> Is Attached <input checked="" type="checkbox"/> Is Not Attached <i>Not App.</i>



EPA Performance Appraisal and Recognition System Performance Plan Coversheet

Definitions of Summary Rating Levels

Outstanding

*Consistently proposes new, creative approaches and practical ideas that are accepted by fellow workers and incorporated into day-to-day work operations to improve efficiency and effectiveness of the work.

*Coworkers are motivated and energized by employee's actions and the employee is often sought for advice concerning complex, controversial, and difficult issues prior to implementation.

*Employee is consistently proactive, demonstrates initiative, and uses exceptional judgment.

*Understands the political realities of situations, keeps supervisor and/or Team Leader informed of issues and problems and uses discretion in keeping sensitive matters confidential.

*Employee most often resolves problems independently and effectively eliminates problems from happening without supervisory intervention or assistance.

*Employee makes significant contributions to the mission and priorities of the unit, office, region and constituencies on a regular basis.

Exceeds Expectations

This level signifies that the results achieved are clearly beyond what could be reasonably expected for Fully Successful performance.

Fully Successful

This level signifies the employee's performance results achieved are those that can be reasonably expected of any employee on the job in order to fully and adequately achieve assigned responsibilities.

Minimally Satisfactory

This level signifies that there is a performance-related problem(s) although the performance has not reached "Unacceptable" in any Critical Element. The employee demonstrates limited ability in producing work of acceptable volume and/or quality within established timeframes; or exhibits limited sense of personal responsibility and accountability in work assignments; or experiences difficulty in addressing new or unusual work situations under normal pressure; or requires frequent guidance and assistance from supervisor or others. When performance is rated at this level, informal assistance in the form of a Performance Assistance Plan (PAP) must be provided to the employee to help improve his/her performance to "Fully Successful."

Unacceptable

This level signifies the performance of the employee consistently fails to meet the established performance standards in one or more critical elements of the employee's position. When performance is rated at this level, a Performance Improvement Plan (PIP) must be implemented to help the employee improve his/her performance to "Fully Successful."

Determining Summary Performance Ratings

Apply the following process to determine the summary performance rating level for the year:

Outstanding

For a summary performance rating of Outstanding, the one half or more of the Critical Elements are rated Outstanding and none of the Critical Elements are rated lower than Exceeds Expectations.

Exceeds Expectations

For a summary performance rating of Exceeds Expectations, the one half or more of the Critical Elements are rated Exceeds Expectations and none of the Critical Elements are rated lower than Fully Successful.

Fully Successful

For a summary performance rating of Fully Successful, the majority of the Critical Elements are rated Fully Successful, and none of the Critical Elements are rated lower than Fully Successful.

Minimally Satisfactory

For a summary rating of Minimally Satisfactory, one or more Critical Elements are rated Minimally Satisfactory and none of the Critical Elements are rated Unacceptable.

Unacceptable

For a summary rating of Unacceptable, one or more Critical Elements are rated Unacceptable.



EPA Performance Appraisal and Recognition System
Performance Plan and Summary Appraisal Package
Agency Benchmark Standards

Instructions for Applying Standards: Ratings at all levels must be evaluated in the context of the grade level and job duties of the individual employee to the extent they apply to the critical element.

Outstanding

Delivers products or services that, to an extraordinary degree, support the Agency's strategic plan, programs, policies, organizational annual performance plans, or budget priorities. Products or services are of exceptional quality and provide exemplary models, skill, and knowledge of subject area. Products are consistently produced ahead of the expected timeframes and reliably comply with applicable statutes, regulations, and established policies and procedures. Adjusts with exceptional quickness and ease to changing priorities, consistently taking the lead. Products or services demonstrate exceptional research and analysis. Exhibits exceptional skills in independently planning, organizing, and prioritizing multiple assignments. Consistently develops and offers suggestions for organizational and work process improvements that substantially increase results, efficiency, or effectiveness. Communicates verbally and in writing with exceptional clarity and effectiveness, often on topics or issues that are emerging and without precedent. Written materials are always well received and easily understood by a range of individuals and groups and significantly promote the Agency's programs and mission. Provides exceptional leadership in promoting teamwork and collaboration across organizations. *Measures and metrics may be included.*

Exceeds Expectations

Delivers products or services that, to a degree beyond what can reasonably be expected, support the Agency's strategic plan, programs, policies, organizational annual performance plans, or budget priorities. Products or services are of superior quality and provide excellent models for addressing the most difficult and complex work challenges and demonstrate high levels of creativity, skill, and knowledge of subject area. Products or services are frequently produced ahead of the expected timeframes and reliably comply with applicable statutes, regulations, and established policies and procedures. Adjusts quickly to changing priorities often taking the lead. Products or services demonstrate high quality research and analysis. Exhibits excellent skills in independently planning, organizing, and prioritizing multiple assignments. Frequently develops and offers suggestions for organizational and work process improvements that increase results, efficiency, or effectiveness. Communicates verbally and in writing with excellent clarity and effectiveness, often on topics or issues that are emerging and without precedent. Written materials are consistently well received and easily understood by a range of individuals and groups, significantly promoting the Agency's programs and mission. Provides high quality leadership in promoting teamwork and collaboration across organizations. *Measures and metrics may be included.*

Fully Successful

Delivers products or services that support the Agency's strategic plan, programs, policies, organizational annual performance plans, or budget priorities. Products or services are of a good quality and provide good models for addressing work challenges and require high levels of creativity, skill, and knowledge of subject area. Products are produced within the expected timeframes and reliably comply with applicable statutes, regulations, and established

policies and procedures. Adjusts to changing priorities. Products or services demonstrate thorough research and analysis. Exhibits effective skills in independently planning, organizing, and prioritizing multiple assignments. Develops and offers suggestions for organizational and work process improvements that increase results, efficiency, or effectiveness. Effectively communicates verbally and in writing. Written materials are well received and easily understood by a range of individuals and groups promoting the Agency's programs and mission. Promotes teamwork and collaboration across organizations. **Measures and metrics may be included.**

Minimally Satisfactory

Delivers products or services that marginally support the Agency's strategic plan, policies, organizational annual performance plans, or budget priorities. Products or services demonstrate occasional deficiencies in creativity, skill, and knowledge of subject area. Products or services are occasionally produced in an untimely manner or do not comply with applicable statutes, regulations, and established policies and procedures. Has some difficulty adjusting to changing priorities. Products or services sometimes lack adequate research and analysis. Occasionally demonstrates difficulty with independently planning, organizing, and prioritizing multiple assignments. Infrequently offers suggestions for organizational and work process improvements that increase results, efficiency or effectiveness. Verbal and written communications lack clarity. Written materials are generally not well received or understood by a range of individuals and groups. Infrequently promotes teamwork and collaboration across organizations.

Measures and metrics may be included.

Unacceptable

Often delivers products or services that do not support Agency's strategic plan, programs, policies, organizational annual performance plans, or budget priorities. Products or services demonstrate frequent deficiencies in creativity, skill, and knowledge of subject area. Products are not produced in a timely manner and do not comply with applicable statutes, regulations, and established policies and procedures. Often has difficulty adjusting to changing priorities. Products or services often lack adequate research and analysis. Often demonstrates difficulty with independently planning, organizing, and prioritizing multiple assignments. Rarely offers suggestions for organizational and work process improvements that increase results, efficiency or effectiveness. Verbal and written communications often lack clarity. Written materials are frequently not well received or understood by a range of individuals and groups. Does not promote teamwork and collaboration across organizations. **Measures and metrics may be included.**

EPA Performance Plan for Richard Cool, NPDES Compliance Unit,

Critical Job Element 1:

Conducts timely and appropriate enforcement actions.

Strategic Plan elements supported by this CJE:

Goal(s) or Cross-Goal Strategy: Goal 5 - Compliance & Env. Stewardship

Objective(s)/Sub-Objectives (if applicable): Obj 5.1 - Improve Compliance; Sub-obj 5.1.3: Monitoring and Enforcement--identify, correct, and deter non-compliance and improve environmental risks through monitoring and enforcement by achieving:

- an increase in complying actions taken during inspections;
- an increase in the percent of enforcement actions requiring that pollutants be reduced, treated, or eliminated;
- an increase in the percent of enforcement actions requiring improvement of environmental management practices.

Assumptions:

Employee Performance Must be Evaluated against the Agency Benchmark Standards.

Measures and Metrics:

Analyze and and prepares supporting documentation to clearly identify alleged violations, associated elements of proof and supporting evidence. Technical and regulatory evaluations and documentation are factually correct, comport to Agency policies and guidance and reflect sufficient analysis and regulatory interpretation to support effective decision-making. Recommends appropriate formal enforcement follow-up in accordance with Agency policies and guidelines. Develops enforcement cases as assigned. Serves as the technical/regulatory member of the case team.

Follows regional procedures for preparing and routing enforcement documents and packages (e.g., NOVs, complaints, referrals, compliance orders), for concurrence, signature and mailing. Prepares and implements communication plan (to ensure appropriate internal and external communication (e.g., OECA Weekly Report), including coordination of news releases with press office. Responsible for preparing all technical and program support documents sufficient to support the recommended course of action. Develops or obtains engineering, scientific or regulatory analysis to evaluate nature and extent of non-compliance. Applies Agency policies to identify appropriate gravity and economic benefit elements for penalty assessments and adjustments and appropriateness and credit for Supplemental Environmental Projects. Ensures coordination with all affected offices or organizations (e.g., ORC, CID, and DOJ). Reporting of activities to regional or national data or tracking systems is accurate, complete and timely and that the reporting for national or regional data bases and tracking (e.g., Case Conclusion Data Sheets) is completed in a timely fashion with complete information, per Regional guidance and standard operating procedures.

Delivers quality products and/or services that support the Agency's mission, strategic goals, programs and policy objectives, and/or annual performance plans and budget priorities and that meet customer expectations. Organizes and sets priorities for routine work. Completes quality (and set volume of) work within required time frames that complies with established policies and procedures. Communicates/responds clearly, professionally and timely, effectively and accurately representing the organization by keeping abreast of Agency policies and program. Produces written materials that are grammatically correct, clear, concise, accurate and thoroughly researched, reflecting Agency policy and integrated appropriately with other Agency offices. Develops and implements solutions to problems and offers suggestions for improvements independently and acceptably without supervisory intervention within delegated authority of job responsibility. Works effectively with peers and superiors.

Supervisor's Notes: *

* Written highlights are required to support an element rating of Outstanding, Minimally Satisfactory, or Unsatisfactory.

Rating:

☐ Outstanding ☐ Exceeds Expectations ☒ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

EPA Performance Plan for Richard Cool, NPDES Compliance Unit

Critical Job Element 2:

Conducts non-inspection compliance monitoring and conducts inspections

Strategic Plan elements supported by this CJE:

Goal(s) or Cross-Goal Strategy: Goal 5 - Compliance & Env. Stewardship

Objective(s)/Sub-Objectives (if applicable): Obj 5.1 - Improve Compliance; Sub-obj 5.1.3: Monitoring and Enforcement--identify, correct, and deter non-compliance and improve environmental risks through monitoring and enforcement by achieving:

- an increase in complying actions taken during inspections;
- an increase in the percent of enforcement actions requiring that pollutants be reduced, treated, or eliminated;
- an increase in the percent of enforcement actions requiring improvement of environmental management practices.

Assumptions:

Employee Performance Must be Evaluated against the Agency Benchmark Standards.

Measures and Metrics:

Non-inspection Compliance Monitoring:

Reviews and evaluates records, notifications, documents, respondent submittals, national or regional databases (QNCR, Watch List, Match List), self-disclosure notices and other information to determine compliance with regulations, permits, orders or decrees. Determines if the technical or regulatory compliance requirements are met or if additional environmental or process controls/actions are necessary. Reviews and coordinates work as appropriate with ORC/CID and/or other agencies. Recommends or conducts appropriate compliance follow-up and prepares post-evaluation correspondence (e.g., warning letters, post-inspection letters, requests for information, notices of violation). Follows-up

and monitors respondents' return to compliance. Compliance evaluation and assessment documents are factually correct and reflect sufficient analysis and regulatory interpretation to support effective decision-making. Reporting of activities to regional or national data or tracking systems is accurate, complete and timely. Tracks compliance with terms of enforcement settlements or decrees; initiates appropriate follow-up action for any noncompliance with the terms of settlement.

Conducting Inspections:

Time and resources are efficiently used to plan and conduct quality inspections. Quality inspections are the result of appropriate research, careful inter-office communications and planning. Coordination with programs, other inspectors, and other appropriate organizations are completed in a timely fashion. Inspections are conducted in a thorough, professional manner. Site conditions and compliance status are properly documented in accordance with methods outlined in Regional guidance and standard operating procedures. Detailed information, documentation and samples are collected to support findings. Compliance assistance and pollution prevention referrals and reference materials are provided on site when available and appropriate. Completed Inspection Reports are timely, clear, concise and adequately document the information from the inspections; meet the Regional guidance and standard operating procedures and are able to support appropriate enforcement actions. Inspection Conclusion Data Sheets and are completed in a timely fashion with complete information per Regional guidance and standard operating procedures.

Delivers quality products and/or services that support the Agency's mission, strategic goals, programs and policy objectives, and/or annual performance plans and budget priorities and that meet customer expectations. Organizes and sets priorities for routine work. Completes quality (and set volume of) work within required time frames that complies with established policies and procedures. Communicates/responds clearly, professionally and timely, effectively and accurately representing the organization by keeping abreast of Agency policies and program. Produces written materials that are grammatically correct, clear, concise, accurate and thoroughly researched, reflecting Agency policy and integrated appropriately with other Agency offices. Develops and implements solutions to problems and offers suggestions for improvements independently and acceptably without supervisory intervention within delegated authority of job responsibility. Works effectively with peers and superiors.

Supervisor's Notes: *

* Written highlights are required to support an element rating of Outstanding, Minimally Satisfactory, or Unsatisfactory.

Rating:

☐ Outstanding ☒ Exceeds Expectations ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

EPA Performance Plan for Richard Cool, NPDES Compliance Unit

Critical Job Element 3:

Oil and Gas Compliance and Enforcement Sector Lead

Strategic Plan elements supported by this CJE:

Goal(s) or Cross-Goal Strategy: Goal 5 - Compliance & Env. Stewardship

Objective(s)/Sub-Objectives (if applicable): Obj 5.1 - Improve Compliance; Sub-obj 5.1.3: Monitoring and Enforcement—identify, correct, and deter non-compliance and improve environmental risks through monitoring and enforcement by achieving:

-an increase in complying actions taken during inspections;

-an increase in the percent of enforcement actions requiring that pollutants be reduced, treated, or eliminated;

-an increase in the percent of enforcement actions requiring improvement of environmental management practices.

Assumptions:

Employee Performance Must be Evaluated against the Agency Benchmark Standards.

Measures and Metrics:

Responsible for employing a variety of tools to ensure NPDES compliance for the assigned sector(s). Understands and advocates for Agency's position, philosophy, policies, procedures, contacts, responsibilities, projects. Effectively

communicates sector progress, projects, needs (which may include contract dollars and contract management issues to management. Develops relationships internally and externally (e.g. R 10, HQ, other government agencies and the public) and convenes appropriate stakeholders for fact gathering, information sharing, and decision-making. Represents the Region on national work groups where appropriate. Leads sector planning, including inspection planning, tracking and reporting (PCS, ICIS and ACS). Is aware of state PPA and PPG commitments within the assigned sector(s) area and coordinates sector work accordingly. Provides assistance to inspectors during inspection preparations as requested. Reviews and comments on draft NPDES permits to ensure permit language is enforceable. Ensures enforcement responses are consistent with Agency and Regional strategy and policy, or if not, are justified given site-specific information.

Delivers quality products and/or services that support the Agency's mission, strategic goals, programs and policy objectives, and/or annual performance plans and budget priorities and that meet customer expectations. Organizes and sets priorities for routine work. Completes quality (and set volume of) work within required time frames that complies with established policies and procedures. Communicates/responds clearly, professionally and timely, effectively and accurately representing the organization by keeping abreast of Agency policies and program. Produces written materials that are grammatically correct, clear, concise, accurate and thoroughly researched, reflecting Agency policy and integrated appropriately with other Agency offices. Develops and implements solutions to problems and offers suggestions for improvements independently and acceptably without supervisory intervention within delegated authority of job responsibility. Works effectively with peers and superiors.

Supervisor's Notes: *

*** Written highlights are required to support an element rating of Outstanding, Minimally Satisfactory, or Unsatisfactory.**

Rating:

☐ Outstanding ☒ Exceeds Expectations ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

EPA Performance Plan for Richard Cool, NPDES Compliance Unit

Critical Job Element 4:

State Oversight for Alaska

Strategic Plan elements supported by this CJE:

Goal(s) or Cross-Goal Strategy: Goal 5 - Compliance & Env. Stewardship

Objective(s)/Sub-Objectives (if applicable): Obj 5.1 - Improve Compliance; Sub-obj 5.1.3: Monitoring and Enforcement--identify, correct, and deter non-compliance and improve environmental risks through monitoring and enforcement by achieving:

- an increase in complying actions taken during inspections;
- an increase in the percent of enforcement actions requiring that pollutants be reduced, treated, or eliminated;
- an increase in the percent of enforcement actions requiring improvement of environmental management practices.

Assumptions:

Employee Performance Must be Evaluated against the Agency Benchmark Standards.

Measures and Metrics:

Responsible for overseeing the NPDES Program in the state of Alaska. Participates in PPA/PPG development and status meetings. Understands and advocates for the Agency's position, philosophy, policies (specifically the annual National Mangers Program Guidance (NMP)), procedures, contacts. Responsible for participating in state program reviews. Tracks PPA/PPG commitments and reports out periodically the status of both EPA and ODEQ commitments for NPDES Compliance related tasks. Conducts oversight inspections (meeting the outputs of CJE 2 above) when appropriate. Assists in gathering state information to report to OECA for core program functions and national priority areas when requested. Identifies tasks/areas where work share agreements may be developed, as resources allow, to assist the state in meeting the NMP expectations.

Delivers quality products and/or services that support the Agency's mission, strategic goals, programs and policy objectives, and/or annual performance plans and budget priorities and that meet customer expectations. Organizes and sets priorities for routine work. Completes quality (and set volume of) work within required time frames that complies

with established policies and procedures. Communicates/responds clearly, professionally and timely, effectively and accurately representing the organization by keeping abreast of Agency policies and program. Produces written materials that are grammatically correct, clear, concise, accurate and thoroughly researched, reflecting Agency policy and integrated appropriately with other Agency offices. Develops and implements solutions to problems and offers suggestions for improvements independently and acceptably without supervisory intervention within delegated authority of job responsibility. Works effectively with peers and superiors.

Supervisor's Notes: *

* Written highlights are required to support an element rating of Outstanding, Minimally Satisfactory, or Unsatisfactory.

Rating:

☒ Outstanding ☐ Exceeds Expectations ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

EPA Performance Plan for Richard Cool, NPDES Compliance Unit

Strategic Plan elements supported by this CJE:

Assumptions:

Employee Performance Must be Evaluated against the Agency Benchmark Standards.

Measures and Metrics:

Supervisor's Notes: *

* Written highlights are required to support an element rating of Outstanding, Minimally Satisfactory, or Unsatisfactory.

Rating:

☐ Outstanding ☐ Exceeds Expectations ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

EPA Performance Appraisal and Recognition System (PARS) 10/1/12 – 9/30/13

Employee: Rick Cool
Supervisor: Jeff KenKnight
Summary Rating: Exceeds Expectations

CJE1: Conducts timely and appropriate enforcement actions
Rating: Fully Successful

CJE2: Conducts non-inspection compliance monitoring and inspections
Rating: Exceeds Expectations

CJE3: Oil and Gas Compliance and Enforcement Sector Lead
Rating: Exceeds Expectations

CJE4: State Oversight for Alaska
Rating: Outstanding

Narrative/outcomes, outputs, supervisor notes:

In FY13 Rick's did an outstanding job in the area of state oversight for Alaska. The Alaska Department of Environmental Conservation has had a very difficult time in implementing comprehensive compliance and enforcement program as envisioned during the NPDES assumption process. Rick has done an excellent job in flagging problem areas for management attention and working constructively with DEC staff and management to try and address the issues. Rick does a really great job in anticipating the opportunities to press a particular issue and preparing EPA's management team and all levels to engage effectively. Rick has taken the lead on the EPA's review of DEC's enforcement program through the State Review Framework (SRF). This is Rick's first involvement with the SRF review process. Rick has done a great job in learning the process and setting a firm schedule for completing the various steps in the process, collaborating along the way with key staff in the office. Thanks Rick for your commitment related to Alaska oversight.

2012



**EPA Performance Appraisal and Recognition System
Performance Plan Coversheet
AFGE Bargaining Unit**

Employee Name: Richard Cool	Title, Series, Grade: Environmental Engineer, 0819, 1 st 12
Performance Period: 10/01/2011 - 09/30/2012	Organizational Location: NPDES Compliance Unit

PRIVACY ACT STATEMENT

The maintenance of this information is governed by Privacy Act system of records OPM/GOVT-2. The authority for the maintenance of this system is 5 U.S.C. 1104, 3321, 4305, and 5405, and Executive Order 12107. This information is required. Not providing this information may hinder the Agency's ability to process personnel actions concerning you. This information is used to define the critical elements, performance standards, and performance measures directly related to your job. It will be used to document your mid-year review, any other reviews, and your end of year rating. The information may also be used in connection with selection for and publication of cash and honor awards; other personnel actions based on performance such as training and development decisions; the hiring or retention of an individual or the issuance of other benefits; relevant judicial or administrative proceedings; law enforcement purposes; personnel research or survey purposes; and negotiated grievance procedures. Disclosure may also be made to the MSPB, the EEOC, and other Federal agencies for purposes authorized by law; to a Congressional office at your request; and to officials of labor organizations when relevant and necessary to their duties as exclusive representatives of Federal employees. This is a summary of the routine uses for these records. For a full description of this system notice, including routine uses, see 65 FR 24737 (Apr. 27, 2000).

Do Not Remove this Coversheet until the Entire Form Is Placed in the Employee Performance File in the Servicing Human Resources Office.



**EPA Performance Appraisal and Recognition System
Performance Plan Coversheet
AFGE Bargaining Unit**

Employee Name: Richard Cool	Title, Series, Grade: Environmental Engineer, 0819, 11
Performance Period: 10/01/2011 - 09/30/2012	Organizational Location: NPDES Compliance Unit

SECTION 1. DETERMINING CRITICAL ELEMENTS AND SETTING STANDARDS

My supervisor and I have discussed the critical elements that I will be rated against during the course of this rating period.

Employee's Signature and Date

Richard Cool 11/21/11

Supervisor's Signature and Date

Kimberly A. Ogletree 11/21/11

Individual being rated is a: Employee

Linking CEs It is important that critical elements (CEs) be linked to the Agency Strategic Plan, or to a Regional Strategic Plan, as appropriate. The Plan contains five long-term, results-based environmental goals. It also describes seven Cross-Goal Strategies. If you link a CE to a Goal, then use the relevant objective(s) to more specifically define the linkage. If your duties include the performance of cross-Agency or cross-media work (including administrative, financial or legal support functions, or information management) then it may be more appropriate to link each CE to a Strategy, rather than to an environmental Goal. For management and support functions not captured by the seven Cross-Goal Strategies, use the alternative linkage statement: *This work is an enabling and support function that supports the outcomes of all five of the Agency's strategic goals.*

Indicate which Strategic Plan Goal(s) is/are linked to the Critical Elements for this position:

SECTION 2. PROGRESS REVIEW(S)

	Mid Year Review (Required)	PARS Changes during Performance Cycle**	"Other" Review (Optional)
Supervisor's Initials and Date	<i>KAO</i> 4/30/12		

My supervisor and I have discussed my performance for this period in relation to my performance standards and measures.

Employee's Initials and Date	<i>X @</i> 4/30/12	
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SECTION 3. END OF YEAR RATING

Summary Rating Levels* <i>Exceeds expectations</i> *See next page for definitions and additional guidance	Learning and Development My supervisor and I have discussed my training needs for the year and an Individual Development Plan (IDP). <input type="checkbox"/> is attached <input type="checkbox"/> is not attached
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My supervisor and I have discussed my performance for the calendar year in relation to my performance standards and measures. My supervisor has informed me of my rating of record.

Supervisor's Signature and Date <i>Jeff Kinsinger</i> 11/7/12	Employee's Signature and Date <i>Richard Cool</i> 11/7/12
Higher Level Supervisor's Signature and Date	Employee Comments <input type="checkbox"/> Is Attached <input checked="" type="checkbox"/> Is Not Attached <i>Not App</i>



**EPA Performance Appraisal and Recognition System
Performance Plan Coversheet
AFGE Bargaining Unit**

Definitions of Summary Rating Levels

Outstanding

- *Consistently proposes new, creative approaches and practical ideas that are accepted by fellow workers and incorporated into day-to-day work operations to improve efficiency and effectiveness of the work.
- *Coworkers are motivated and energized by employee's actions and the employee is often sought for advice concerning complex, controversial, and difficult issues prior to implementation.
- *Employee is consistently proactive, demonstrates initiative, and uses exceptional judgment.
- *Understands the political realities of situations, keeps supervisor and/or Team Leader informed of issues and problems and uses discretion in keeping sensitive matters confidential.
- *Employee most often resolves problems independently and effectively eliminates problems from happening without supervisory intervention or assistance.
- *Employee makes significant contributions to the mission and priorities of the unit, office, region and constituencies on a regular basis.

Exceeds Expectations

This level signifies that the results achieved are clearly beyond what could be reasonably expected for Fully Successful performance.

Fully Successful

This level signifies the employee's performance results achieved are those that can be reasonably expected of any employee on the job in order to fully and adequately achieve assigned responsibilities.

Minimally Satisfactory

This level signifies that there is a performance-related problem(s) although the performance has not reached "Unacceptable" in any Critical Element. The employee demonstrates limited ability in producing work of acceptable volume and/or quality within established timeframes; or exhibits limited sense of personal responsibility and accountability in work assignments; or experiences difficulty in addressing new or unusual work situations under normal pressure; or requires frequent guidance and assistance from supervisor or others. When performance is rated at this level, informal assistance in the form of a Performance Assistance Plan (PAP) must be provided to the employee to help improve his/her performance to "Fully Successful."

Unacceptable

This level signifies the performance of the employee consistently fails to meet the established performance standards in one or more critical elements of the employee's position. When performance is rated at this level, a Performance Improvement Plan (PIP) must be implemented to help the employee improve his/her performance to "Fully Successful."

Determining Summary Performance Ratings

Apply the following process to determine the summary performance rating level for the year:

Outstanding

For a summary performance rating of Outstanding, the one half or more of the Critical Elements are rated Outstanding and none of the Critical Elements are rated lower than Exceeds Expectations.

Exceeds Expectations

For a summary performance rating of Exceeds Expectations, the one half or more of the Critical Elements are rated Exceeds Expectations and none of the Critical Elements are rated lower than Fully Successful.

Fully Successful

For a summary performance rating of Fully Successful, the majority of the Critical Elements are rated Fully Successful, and none of the Critical Elements are rated lower than Fully Successful.

Minimally Satisfactory

For a summary rating of Minimally Satisfactory, one or more Critical Elements are rated Minimally Satisfactory and none of the Critical Elements are rated Unacceptable.

Unacceptable

For a summary rating of Unacceptable, one or more Critical Elements are rated Unacceptable.



**EPA Performance Appraisal and Recognition System
Performance Plan and Summary Appraisal Package
Agency Benchmark Standards**

Instructions for Applying Standards: Ratings at all levels must be evaluated in the context of the grade level and job duties of the individual employee to the extent they apply to the critical element.

Outstanding

Delivers products or services that, to an extraordinary degree, support the Agency's strategic plan, programs, policies, organizational annual performance plans, or budget priorities. Products or services are of exceptional quality and provide exemplary models, skill, and knowledge of subject area. Products are consistently produced ahead of the expected timeframes and reliably comply with applicable statutes, regulations, and established policies and procedures. Adjusts with exceptional quickness and ease to changing priorities, consistently taking the lead. Products or services demonstrate exceptional research and analysis. Exhibits exceptional skills in independently planning, organizing, and prioritizing multiple assignments. Consistently develops and offers suggestions for organizational and work process improvements that substantially increase results, efficiency, or effectiveness. Communicates verbally and in writing with exceptional clarity and effectiveness, often on topics or issues that are emerging and without precedent. Written materials are always well received and easily understood by a range of individuals and groups and significantly promote the Agency's programs and mission. Provides exceptional leadership in promoting teamwork and collaboration across organizations. ***Measures and metrics may be included.***

Exceeds Expectations

Delivers products or services that, to a degree beyond what can reasonably be expected, support the Agency's strategic plan, programs, policies, organizational annual performance plans, or budget priorities. Products or services are of superior quality and provide excellent models for addressing the most difficult and complex work challenges and demonstrate high levels of creativity, skill, and knowledge of subject area. Products or services are frequently produced ahead of the expected timeframes and reliably comply with applicable statutes, regulations, and established policies and procedures. Adjusts quickly to changing priorities often taking the lead. Products or services demonstrate high quality research and analysis. Exhibits excellent skills in independently planning, organizing, and prioritizing multiple assignments. Frequently develops and offers suggestions for organizational and work process improvements that increase results, efficiency, or effectiveness. Communicates verbally and in writing with excellent clarity and effectiveness, often on topics or issues that are emerging and without precedent. Written materials are consistently well received and easily understood by a range of individuals and groups, significantly promoting the Agency's programs and mission. Provides high quality leadership in promoting teamwork and collaboration across organizations. ***Measures and metrics may be included.***

Fully Successful

Delivers products or services that support the Agency's strategic plan, programs, policies, organizational annual performance plans, or budget priorities. Products or services are of a good quality and provide good models for addressing work challenges and require high levels of creativity, skill, and knowledge of subject area. Products are produced within the expected timeframes and reliably comply with applicable statutes, regulations, and established

policies and procedures. Adjusts to changing priorities. Products or services demonstrate thorough research and analysis. Exhibits effective skills in independently planning, organizing, and prioritizing multiple assignments. Develops and offers suggestions for organizational and work process improvements that increase results, efficiency, or effectiveness. Effectively communicates verbally and in writing. Written materials are well received and easily understood by a range of individuals and groups promoting the Agency's programs and mission. Promotes teamwork and collaboration across organizations. **Measures and metrics may be included.**

Minimally Satisfactory

Delivers products or services that marginally support the Agency's strategic plan, policies, organizational annual performance plans, or budget priorities. Products or services demonstrate occasional deficiencies in creativity, skill, and knowledge of subject area. Products or services are occasionally produced in an untimely manner or do not comply with applicable statutes, regulations, and established policies and procedures. Has some difficulty adjusting to changing priorities. Products or services sometimes lack adequate research and analysis. Occasionally demonstrates difficulty with independently planning, organizing, and prioritizing multiple assignments. Infrequently offers suggestions for organizational and work process improvements that increase results, efficiency or effectiveness. Verbal and written communications lack clarity. Written materials are generally not well received or understood by a range of individuals and groups. Infrequently promotes teamwork and collaboration across organizations.

Measures and metrics may be included.

Unacceptable

Often delivers products or services that do not support Agency's strategic plan, programs, policies, organizational annual performance plans, or budget priorities. Products or services demonstrate frequent deficiencies in creativity, skill, and knowledge of subject area. Products are not produced in a timely manner and do not comply with applicable statutes, regulations, and established policies and procedures. Often has difficulty adjusting to changing priorities. Products or services often lack adequate research and analysis. Often demonstrates difficulty with independently planning, organizing, and prioritizing multiple assignments. Rarely offers suggestions for organizational and work process improvements that increase results, efficiency or effectiveness. Verbal and written communications often lack clarity. Written materials are frequently not well received or understood by a range of individuals and groups. Does not promote teamwork and collaboration across organizations. **Measures and metrics may be included.**

EPA Performance Plan for Richard Cool, NPDES Compliance Unit,

Critical Job Element 1:

Conducts timely and appropriate enforcement actions.

Strategic Plan elements supported by this CJE :

Goal(s) or Cross-Goal Strategy: Goal 5 - Compliance & Env. Stewardship

Objective(s)/Sub-Objectives (if applicable): Obj 5.1 - Improve Compliance; Sub-obj 5.1.3: Monitoring and Enforcement--identify, correct, and deter non-compliance and improve environmental risks through monitoring and enforcement by achieving:

- an increase in complying actions taken during inspections;
- an increase in the percent of enforcement actions requiring that pollutants be reduced, treated, or eliminated;
- an increase in the percent of enforcement actions requiring improvement of environmental management practices.

Assumptions:

Employee Performance Must be Evaluated against the Agency Benchmark Standards .

Measures and Metrics :

Analyze and and prepares supporting documentation to clearly identify alleged violations, associated elements of proof and supporting evidence. Technical and regulatory evaluations and documentation are factually correct, comport to Agency policies and guidance and reflect sufficient analysis and regulatory interpretation to support effective decision-making. Recommends appropriate formal enforcement follow-up in accordance with Agency policies and guidelines. Develops enforcement cases as assigned. Serves as the technical/regulatory member of the case team.

Follows regional procedures for preparing and routing enforcement documents and packages (e.g., NOV, complaints, referrals, compliance orders), for concurrence, signature and mailing. Prepares and implements communication plan (to ensure appropriate internal and external communication (e.g., OECA Weekly Report), including coordination of news releases with press office. Responsible for preparing all technical and program support documents sufficient to support the recommended course of action. Develops or obtains engineering, scientific or regulatory analysis to evaluate nature and extent of non-compliance. Applies Agency policies to identify appropriate gravity and economic benefit elements for penalty assessments and adjustments and appropriateness and credit for Supplemental Environmental Projects. Ensures coordination with all affected offices or organizations (e.g., ORC, CID, and DOJ). Reporting of activities to regional or national data or tracking systems is accurate, complete and timely and that the reporting for national or regional data bases and tracking (e.g., Case Conclusion Data Sheets) is completed in a timely fashion with complete information, per Regional guidance and standard operating procedures.

Delivers quality products and/or services that support the Agency's mission, strategic goals, programs and policy objectives, and/or annual performance plans and budget priorities and that meet customer expectations. Organizes and sets priorities for routine work. Completes quality (and set volume of) work within required time frames that complies with established policies and procedures. Communicates/responds clearly, professionally and timely, effectively and accurately representing the organization by keeping abreast of Agency policies and program. Produces written materials that are grammatically correct, clear, concise, accurate and thoroughly researched, reflecting Agency policy and integrated appropriately with other Agency offices. Develops and implements solutions to problems and offers suggestions for improvements independently and acceptably without supervisory intervention within delegated authority of job responsibility. Works effectively with peers and superiors.

Supervisor's Notes: *

* Written highlights are required to support an element rating of Outstanding , Minimally Satisfactory , or Unsatisfactory .

Rating:

☐ Outstanding ☐ Exceeds Expectations ☒ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

EPA Performance Plan for Richard Cool, NPDES Compliance Unit

Critical Job Element 2:

Conducts non-inspection compliance monitoring and conducts inspections

Strategic Plan elements supported by this CJE :

Goal(s) or Cross-Goal Strategy: Goal 5 - Compliance & Env. Stewardship

Objective(s)/Sub-Objectives (if applicable): Obj 5.1 - Improve Compliance; Sub-obj 5.1.3: Monitoring and Enforcement--identify, correct, and deter non-compliance and improve environmental risks through monitoring and enforcement by achieving:

- an increase in complying actions taken during inspections;
- an increase in the percent of enforcement actions requiring that pollutants be reduced, treated, or eliminated;
- an increase in the percent of enforcement actions requiring improvement of environmental management practices.

Assumptions:

Employee Performance Must be Evaluated Against the Agency Benchmark Standards .

Measures and Metrics :

Non-inspection Compliance Monitoring:

Reviews and evaluates records, notifications, documents, respondent submittals, national or regional databases (QNCR, Watch List, Match List), self-disclosure notices and other information to determine compliance with regulations, permits, orders or decrees. Determines if the technical or regulatory compliance requirements are met or if additional environmental or process controls/actions are necessary. Reviews and coordinates work as appropriate with ORC/CID and/or other agencies. Recommends or conducts appropriate compliance follow-up and prepares post-evaluation correspondence (e.g., warning letters, post-inspection letters, requests for information, notices of violation). Follows-up

and monitors respondents' return to compliance. Compliance evaluation and assessment documents are factually correct and reflect sufficient analysis and regulatory interpretation to support effective decision-making. Reporting of activities to regional or national data or tracking systems is accurate, complete and timely. Tracks compliance with terms of enforcement settlements or decrees; initiates appropriate follow-up action for any noncompliance with the terms of settlement.

Conducting Inspections:

Time and resources are efficiently used to plan and conduct quality inspections. Quality inspections are the result of appropriate research, careful inter-office communications and planning. Coordination with programs, other inspectors, and other appropriate organizations are completed in a timely fashion. Inspections are conducted in a thorough, professional manner. Site conditions and compliance status are properly documented in accordance with methods outlined in Regional guidance and standard operating procedures. Detailed information, documentation and samples are collected to support findings. Compliance assistance and pollution prevention referrals and reference materials are provided on site when available and appropriate. Completed Inspection Reports are timely, clear, concise and adequately document the information from the inspections; meet the Regional guidance and standard operating procedures and are able to support appropriate enforcement actions. Inspection Conclusion Data Sheets and are completed in a timely fashion with complete information per Regional guidance and standard operating procedures.

Delivers quality products and/or services that support the Agency's mission, strategic goals, programs and policy objectives, and/or annual performance plans and budget priorities and that meet customer expectations. Organizes and sets priorities for routine work. Completes quality (and set volume of) work within required time frames that complies with established policies and procedures. Communicates/responds clearly, professionally and timely, effectively and accurately representing the organization by keeping abreast of Agency policies and program. Produces written materials that are grammatically correct, clear, concise, accurate and thoroughly researched, reflecting Agency policy and integrated appropriately with other Agency offices. Develops and implements solutions to problems and offers suggestions for improvements independently and acceptably without supervisory intervention within delegated authority of job responsibility. Works effectively with peers and superiors.

Supervisor's Notes: *

* Written highlights are required to support an element rating of Outstanding , Minimally Satisfactory , or Unsatisfactory .

Rating:

☐ Outstanding ☒ Exceeds Expectations ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

EPA Performance Plan for Richard Cool, NPDES Compliance Unit

Critical Job Element 3:

Oil and Gas Compliance and Enforcement Sector Lead

Strategic Plan elements supported by this CJE :

Goal(s) or Cross-Goal Strategy: Goal 5 - Compliance & Env. Stewardship

Objective(s)/Sub-Objectives (if applicable): Obj 5.1 - Improve Compliance; Sub-obj 5.1.3: Monitoring and Enforcement--identify, correct, and deter non-compliance and improve environmental risks through monitoring and enforcement by achieving:

- an increase in complying actions taken during inspections;
- an increase in the percent of enforcement actions requiring that pollutants be reduced, treated, or eliminated;
- an increase in the percent of enforcement actions requiring improvement of environmental management practices.

Assumptions:

Employee Performance Must be Evaluated against the Agency Benchmark Standards .

Measures and Metrics :

Responsible for employing a variety of tools to ensure NPDES compliance for the assigned sector(s). Understands and advocates for Agency's position, philosophy, policies, procedures, contacts, responsibilities, projects. Effectively

communicates sector's progress, projects, needs (which may include contract dollars and contract management) and issues to management. Develops relationships internally and externally (e.g. R 10, HQ, other government agencies and the public) and convenes appropriate stakeholders for fact gathering, information sharing, and decision-making. Represents the Region on national work groups where appropriate. Leads sector planning, including inspection planning, tracking and reporting (PCS, ICIS and ACS). Is aware of state PPA and PPG commitments within the assigned sector(s) area and coordinates sector work accordingly. Provides assistance to inspectors during inspection preparations as requested. Reviews and comments on draft NPDES permits to ensure permit language is enforceable. Ensures enforcement responses are consistent with Agency and Regional strategy and policy, or if not, are justified given site-specific information.

Delivers quality products and/or services that support the Agency's mission, strategic goals, programs and policy objectives, and/or annual performance plans and budget priorities and that meet customer expectations. Organizes and sets priorities for routine work. Completes quality (and set volume of) work within required time frames that complies with established policies and procedures. Communicates/responds clearly, professionally and timely, effectively and accurately representing the organization by keeping abreast of Agency policies and program. Produces written materials that are grammatically correct, clear, concise, accurate and thoroughly researched, reflecting Agency policy and integrated appropriately with other Agency offices. Develops and implements solutions to problems and offers suggestions for improvements independently and acceptably without supervisory intervention within delegated authority of job responsibility. Works effectively with peers and superiors.

Supervisor's Notes: *

* Written highlights are required to support an element rating of Outstanding , Minimally Satisfactory , or Unsatisfactory .

Rating:

☐ Outstanding ☒ Exceeds Expectations ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

EPA Performance Plan for Richard Cool, NPDES Compliance Unit

Critical Job Element 4:

State Oversight for Alaska

Strategic Plan elements supported by this CJE :

Goal(s) or Cross-Goal Strategy: Goal 5 - Compliance & Env. Stewardship

Objective(s)/Sub-Objectives (if applicable): Obj 5.1 - Improve Compliance; Sub-obj 5.1.3: Monitoring and Enforcement--identify, correct, and deter non-compliance and improve environmental risks through monitoring and enforcement by achieving:

- an increase in complying actions taken during inspections;
- an increase in the percent of enforcement actions requiring that pollutants be reduced, treated, or eliminated;
- an increase in the percent of enforcement actions requiring improvement of environmental management practices.

Assumptions:

Employee Performance Must be Evaluated against the Agency Benchmark Standards

Measures and Metrics :

Responsible for overseeing the NPDES Program in the state of ~~Oregon~~ **ALASKA**. Participates in PPA/PPG development and status meetings. Understands and advocates for the Agency's position, philosophy, policies (specifically the annual National Mangers Program Guidance (NMP)), procedures, contacts. Responsible for participating in state program reviews. Tracks PPA/PPG commitments and reports out periodically the status of both EPA and ODEQ commitments for NPDES Compliance related tasks. Conducts oversight inspections (meeting the outputs of CJE 2 above) when appropriate. Assists in gathering state information to report to OECA for core program functions and national priority areas when requested. Identifies tasks/areas where work share agreements may be developed, as resources allow, to assist the state in meeting the NMP expectations.

Delivers quality products and/or services that support the Agency's mission, strategic goals, programs and policy objectives, and/or annual performance plans and budget priorities and that meet customer expectations. Organizes and sets priorities for routine work. Completes quality (and set volume of) work within required time frames that complies

with established policies and procedures. Communicates/responds clearly, professionally and timely, effectively and accurately representing the organization by keeping abreast of Agency policies and program. Produces written materials that are grammatically correct, clear, concise, accurate and thoroughly researched, reflecting Agency policy and integrated appropriately with other Agency offices. Develops and implements solutions to problems and offers suggestions for improvements independently and acceptably without supervisory intervention within delegated authority of job responsibility. Works effectively with peers and superiors.

Supervisor's Notes: *

* Written highlights are required to support an element rating of Outstanding , Minimally Satisfactory , or Unsatisfactory .

Rating:

☐ Outstanding ☒ Exceeds Expectations ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory

EPA Performance Plan for Richard Cool, NPDES Compliance Unit

Strategic Plan elements supported by this CJE :

Assumptions:

Employee Performance Must be Evaluated against the Agency Benchmark Standards .

Measures and Metrics :

Supervisor's Notes: *

* Written highlights are required to support an element rating of Outstanding , Minimally Satisfactory , or Unsatisfactory .

Rating:

☐ Outstanding ☐ Exceeds Expectations ☐ Fully Successful ☐ Minimally Satisfactory ☐ Unsatisfactory



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION 10
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Seattle, Washington 98101-3140

OFFICE OF
COMPLIANCE AND ENFORCEMENT

MEMORANDUM

SUBJECT: PARS Interim Appraisal for Rick Cool

FROM: Kimberly Ogle

TO: Jeff KenKnight

Interim Appraisal Period: October 1, 2011 to June 30, 2012

The following information is being provided as input to your employee's annual performance appraisal.

CJE #	Rating	Optional Comments/Highlights*
1 Enforcement	FS	
2 Monitoring	E	
3 O and G Sector	E	
4 AK Oversight	E	
Summary	E	

* Written highlights are required to support an element rating of O, MS, or U

Signature _____

Date _____